

March 28, 2006

March 28, 2006

Agenda

March 28, 2006
10:00 AM – 12:00 PM

Caltrans
1304 O Street, Suite 200
Sacramento, CA 95814

Contact: Penny Freeman
(916) 323-7114

Meeting called by: Rachel Falsetti Facilitator: Abhijit Bagde Recorder/Time Keeper: Tracy Hendrickson			
Agenda Topics			
Item	Description	Time	Presenter
1	Topics/Agenda/Introductions	10:00	Abhijit Bagde
2	Ground Rules	10:05	Abhijit Bagde
3	Approval of the 12/13/2005 CFPG meeting minutes	10:10	Abhijit Bagde
4	Announcements and updates	10:15	All
5	Follow-Up Items from last meeting: <ul style="list-style-type: none">• Provide information to MPOs on Planning of Bridge Preventative Maintenance Program and the Statewide Scour Plan• Provide preliminary listing of 2006 SHOPP projects to MPOs – Item completed.• Form Task Force for developing guidelines in order to make FTIP/RTP compliant with SAFETEA-LU – Item completed.• Transmit HBRR listings to MPOs – Item completed.• Contact Department of Parks and Recreation to send award letter to MPOs – Item completed.• Find out if there are going to be any changes to 2005/06 SHOPP – Item completed.	10:20	CT
6	Advance Construction Programming Update	10:35	Rachel Falsetti
7	Programming of projects from High Priority Projects Program in FTIP	10:40	Abhijit Bagde
8	Designation for upcoming FTIP/FSTIP – 2007 FTIP/FSTIP	10:45	Rachel Falsetti
9	Update on SAFETEA-LU Compliance Committee Progress	10:50	Rachel Falsetti
10	2007 FTIP/FSTIP Assumptions and Guidance (Handout)	11:05	Abhijit Bagde/ Rachel Falsetti
11	2006 STIP Revenue Discussion	11:35	Rachel Falsetti
12	Annual Listing of Obligated Projects (Handout)	11:45	Abhijit Bagde

13	Financial Summary (Handout)	11:50	Abhijit Bagde										
14	Follow-up Items:	11:55	Abhijit Bagde										
15	Open Forum & Next meeting date and location: <table><tr><td><u>Date</u></td><td><u>Place</u></td></tr><tr><td>May 9, 2006</td><td>FHWA, Sacramento</td></tr><tr><td>June 20, 2006</td><td>SACOG, Sacramento</td></tr><tr><td>August 1, 2006</td><td>MTC, Oakland</td></tr><tr><td>October 10, 2006</td><td>Caltrans, Sacramento</td></tr></table>	<u>Date</u>	<u>Place</u>	May 9, 2006	FHWA, Sacramento	June 20, 2006	SACOG, Sacramento	August 1, 2006	MTC, Oakland	October 10, 2006	Caltrans, Sacramento	11:55	All
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CALIFORNIA FEDERAL PROGRAMMING GROUP (CFPG)
MEETING MINUTES –March 28, 2006

The CFPG meeting was held at the Caltrans Office, 1304 O Street, Suite 200, Sacramento, from 10:00 a.m. to 11:55 a.m.

1. Topics/Agenda/Introduction:

The meeting started with the self-introduction of attendees.

2. Ground Rules:

Abhijit Bagde, Caltrans, Federal Programming, gave a brief overview of ground rules for the meeting. Here are the full ground rules:

- Since there are phone participants, everyone who speaks should state his/her name and agency.
- Keep comments as brief as possible.
- Stick to the current agenda item. Additional items not in the agenda will be added to the end and will be discussed if time permits.
- Turn off cell phones and limit interruptions.
- This is a forum to hear everyone's concerns, comments and suggestions. Please make sure your voice is heard.
- Facilitator to ask before moving on to the next item if anyone on the phone has any additional comments on the item, then pause for a few seconds.
- Respond to follow-up items and meeting notices by the deadlines.
- Except for follow-up items, the minutes will include discussions that take place during the meeting only. If you do not want what you say during the meeting included in the minutes, state "off the record."
- When not speaking, phone participants to keep their phones on mute if possible.

3. Approval of 2/14/06 CFPG meeting minutes:

The meeting minutes for February 14, 2006, were approved with no changes.

4. Announcements and updates:

CTIPS training for developing 2007 FTIP will be held April 18, 2006 in Sacramento.

Contact the CTIP Office for enrollment.

AASHTO is conducting a survey regarding fiscal constraint requirements impacting the TIP.

If any MPO would like to participate, please contact Rachel Falsetti at (916)

654-2983. (see attached survey)

California Transportation Planning Conference will be held in Monterey May 30 – June 1. It will include a discussion of SAFETEA-LU planning requirements.

5. Follow-Up Items from last meeting:

Additional information regarding Bridge Preventative Maintenance Program and the Statewide Scour Plan will be discussed under Item #10.

Parks and Recreation has agreed to send a copy of projects/award letters to MPOs when received.

There should be no major changes to the 2005/06 SHOPP for the remainder of 2005/06.

6. Advance Construction Programming Update:

Caltrans Budget Office is reviewing the Advance Construction process in conjunction with the State Only funding process. Caltrans will keep MPOs apprised of status and updates.

7. Programming of Projects from High Priority Projects Program in FTIP:

Three examples of programming HPP projects were distributed at the February 14 CFPG meeting. At this time, MPOs may choose any of the three examples when programming HPP projects. CTIPS will accommodate any of these examples. The Kern Council of Governments area received a large amount of HPPs through SAFETEA-LU. As a result, Joe Stramaglia, Kern Council of Governments, requested Caltrans' assistance in programming HPP projects. He will be scheduling a meeting soon.

8. Designation for upcoming FTIP/FSTIP – 2007 FTIP/FSTIP:

In order to coincide with the Federal Fiscal Year (FFY), the new FTIP/FSTIP will be named 2007 FTIP/FSTIP (instead of 2006 FTIP/FSTIP). Abhijit is working with CTIPS to accommodate the change. Based on discussions with CTIPS office it may not be possible to accommodate this change in CTIPS at this time as all other state programming documents are on even year cycle. If the change can be made, MPOs will be notified once the change is made to the "Document Year" in CTIPS.

9. Update on SAFETEA-LU Compliance Committee Progress:

The SAFETEA-LU TIP Compliance Committee met on February 24, 2006. MPOs were asked to complete a table showing how the MPO proposed to comply with the new SAFETEA-LU requirements, similar to a gap analysis. Responses from MPOs were combined into a comprehensive table. Several small groups were formed to address four major areas: Participation Plan, Visualization Techniques & Electronic Publishing, System Preservation, Operation, and Maintenance Costs, Expanded Consultation Requirements. Mini issue papers were prepared for each of these areas and included background, proposed agency actions, and range of options. Since the proposed rules are not yet available, the information from this Committee should be viewed as a framework only, and should not be construed as an exhaustive or approved list of options.

When the draft rule becomes available, it is very important that MPOs take advantage of the opportunity to provide comments to FHWA.

Since SAFETEA-LU rules are not yet available, the 2007 FTIP will be based on TEA-21 requirements. SAFETEA-LU requirements will also be discussed at the Transportation Planning Conference to be held in Monterey May 30, 31, and June 1. Abhijit will e-mail information on this conference to the CFPG group.

10. 2007 FTIP/FSTIP Assumptions and Guidance (Handout):

The DRAFT 2007 FTIP/FSTIP Assumptions and Guidance was discussed:

2006 STIP – The total project cost must be shown. After April 1, 2006 when a STIP project is transferred from STIP into FTIP using CTIPS transfer mechanism, support costs will now

be included in the corresponding Right-of-Way and Construction capital costs. Transportation Enhancement (TE) Reserve from 2006 STIP can not be programmed in FTIP unless a backup list of projects is available (can be grouped together as a lump sum). MPOs may include the TEA projects that were included in the CTC adopted 2006 STIP in 2007 FTIPs. After that MPOs can program projects in FTIPs only after requesting CTC allocation. MPOs may conduct CTC and FTIP processes concurrently in order to reduce time for FSTIP approval.

2006 SHOPP – The draft 2006 SHOPP was released March 17, 2006. MPOs may use this list for identifying nonexempt projects only. Caltrans will provide funding summary and associated back-up project list to MPOs by mid-April. For the SHOPP, programming in CTIPS is considered equivalent to the revenue available. The current procedures for amendments after 2007 FSTIP approval will be reviewed. There is an issue concerning the release of the lump sum lists. Currently, it is not scheduled for release until Mid-April. This may be too late for some MPOs that require a project listing prior to the release of the SHOPP lump sums. Abhijit will work with the SHOPP office concerning this issue.

Emergency Repair Program – This is a fund reservation for emergency repair projects and needs to be programmed as a lump sum. It does not require a project back up list.

Traffic Congestion Relief Program (TCRP) – Funding is assumed to be available. Rachel will talk to Eric Koch (TCRP) regarding a formal schedule or listing of projects.

Highway Bridge Program (HBP) – The 2007 list was distributed March 27, 2006.

HES/SR2S – Local Assistance is developing guidelines based on SAFETEA-LU, and will release the list of projects October 1 of each year.

CMAQ/RSTP – Estimates were distributed February 8. There was a question concerning the CMAQ “fix” for AMBAG and Santa Barbara. Rachel responded that the “fix” is in proposed legislation. There will be no change to the 2005/06 apportionments as a result of the proposed fix. The phase out is proposed for 2006/07 and 2007/08.

Section 130 – STP Railroad Program – Project listings were distributed February 10, 2006.

High Priority Projects – Guidelines for programming HPP projects is under development – see discussion under Item 7.

Planning of Bridge Preventative Maintenance Program and the Statewide Scour Plan for Local Agencies – An example of how to program projects using these funds is contained in the handout. MPOs will program projects, but not dollars. All dollars will be shown under the Rural NonMPO portion of the FSTIP. As a result, MPOs will not have to update the TIP for each project.

Transit Element – The FTA Section 5310 program will be approved by the CTC in October 2006. These projects will need to be amended into the 2007 FTIP after CTC approval. Estimates for the FTA Section 5311 program based on SAFETEA-LU were included as a handout to the CFPG agenda.

Other Federal programs – Wade Hobbs, FHWA will be putting together a list of prior year awards.

Expedited Project Selection Procedure (EPSP) – MPOs need to include EPSP language as part of their adopted document. Abhijit will e-mail the most recent language for EPSP.

There was also a request for Caltrans to place TIP development information on the FTIP website. It should include all pertinent information. Rachel will follow up.

11. STIP Revenue Discussion:

Proposals and capacity for the RTIP/ITIP do not match. For the TIF account, proposals totaled \$1.3 Billion while capacity is only \$450M. For the PTA Account, there is \$622M in proposals and \$1.355B of capacity. The RTIPs and ITIPs will be less than proposed. Projects that were not allocated in 2004 will be rolled forward into the 2006 STIP. As a result, there will be little or no room for new projects in 2006.

12. Annual Listing of Obligated Projects (Handout):

FHWA has issued draft Guidelines for the Annual Listing of Obligated Projects – these were included as an attachment to the agenda. Caltrans can provide Local Assistance and State Highway obligations, MPO to obtain FTA obligation information on its own. There was discussion regarding MPO access to FMIS. Wade Hobbs will provide Abhijit information regarding the application, agreements, and forms for FMIS access. Two MPOs have received access rights to FMIS, but were unable to access the information – may be a problem with the firewall, etc. MPOs should let Abhijit know if they have access rights to FMIS; want additional information; or are not interested in FMIS access. Abhijit will forward information to Wade Hobbs, FHWA.

13. Financial Summary (Handout)

The financial summary forms were e-mailed to the CFPG. These forms must be transmitted electronically to Caltrans in order to develop the statewide financial summary required for the FSTIP. There was discussion concerning the number of years of data to submit. The MPO may choose to submit 3 years (FYs 06/07, 07/08 and 08/09) of data or more.

14. Follow Up Items

- Wade Hobbs, FHWA, will provide a list of prior year awards for Other Federal Programs such as PLHP
- Abhijit will make fund types available to MPOs for programming HPP projects in CTIPS
- Abhijit will follow up with the SHOPP Office to see if the SHOPP lump sums can be generated prior to mid-April.
- Abhijit will e-mail CFPG the most recent EPSP language.
- Wade Hobbs will put a package together of FMIS agreements/forms, etc. Abhijit will forward to the CFPG group.
- Abhijit will e-mail CFPG information on the California Transportation Planning Conference.
- Rachel will follow up on adding TIP development information to the Caltrans FTIP website.
- Rachel will follow up with Eric Koch re listing of TCRP projects.
- Rachel will keep CFPG informed of AC procedures progress.

15. Next Meeting Dates

May 9, 2006 – FHWA, Sacramento
June 20, 2006 – SACOG, Sacramento
August 1, 2006 – MTC, Oakland

October 10, 2006 – Caltrans, Sacramento

**Recommended FTIP Multi-Year Line Item for
Emergency Repair Program
(Dollars in Thousands)**

Project Description:

At various locations, State highway projects to repair damage caused by natural disasters, civil unrest, or terrorist acts. Non-capacity increasing projects only - includes all FHWA funds. This applies to damages that do not qualify for Federal Emergency Relief funds or to damages that qualify for Federal Emergency Relief funds but extend beyond the Federally declared disaster period. Projects are consistent with 40 CFR Part 93.126, 127, 128 Exempt Tables 2 & 3.

Lead Agency: Caltrans

MPO	FY 2006/07	FY 2007/08	FY 2008/09	Total
AMBAG	\$ 850	\$ 850	\$ 850	\$ 2,550
Butte County (BCAG)	\$ 50	\$ 50	\$ 50	\$ 150
Fresno (COFCG)	\$ 50	\$ 50	\$ 50	\$ 150
Kings County	\$ 50	\$ 50	\$ 50	\$ 150
Madera County	\$ 50	\$ 50	\$ 50	\$ 150
Kern (KCOG)	\$ 50	\$ 50	\$ 50	\$ 150
Merced (MCAG)	\$ 50	\$ 50	\$ 50	\$ 150
MTC	\$ 1,000	\$ 1,000	\$ 1,000	\$ 3,000
SACOG	\$ 100	\$ 100	\$ 100	\$ 300
SANDAG	\$ 50	\$ 50	\$ 50	\$ 150
San Joaquin (SJCCOG)	\$ 50	\$ 50	\$ 50	\$ 150
San Luis Obispo (SLOCOG)	\$ 250	\$ 250	\$ 250	\$ 750
Santa Barbara (SBCAG)	\$ 250	\$ 250	\$ 250	\$ 750
Shasta County (SCAG)	\$ 100	\$ 100	\$ 100	\$ 300
Imperial	\$ 100	\$ 100	\$ 100	\$ 300
Los Angeles	\$ 250	\$ 250	\$ 250	\$ 750
Orange	\$ 100	\$ 100	\$ 100	\$ 300
Riverside	\$ 100	\$ 100	\$ 100	\$ 300
San Bernardino	\$ 100	\$ 100	\$ 100	\$ 300
Ventura	\$ 250	\$ 250	\$ 250	\$ 750
Stanislaus (SAAG)	\$ 100	\$ 100	\$ 100	\$ 300
Tulare County (TCAG)	\$ 100	\$ 100	\$ 100	\$ 300
Non-MPO area of State (FSTIP)	\$ 1,800	\$ 1,800	\$ 1,800	\$ 5,400
Total	\$ 5,850	\$ 5,850	\$ 5,850	\$ 17,550

SECTION 5311 SAFETEA-LU FY2006-09 APPORTIONMENTS

PER CAPITA SHARE:					
D	CO./REG.	Final FY06 Apport.	Est FY07 Apport.	Est FY08 Apport.	Est FY09 Apport.
4	MTC	\$1,136,534	\$1,179,369	\$1,276,349	\$1,349,626
3	SACOG	\$550,069	\$570,801	\$617,738	\$653,203
3	TRPA	\$122,995	\$127,631	\$138,126	\$146,056
10	ALPINE	\$40,000	\$40,000	\$40,000	\$40,000
10	AMADOR	\$132,782	\$137,786	\$149,117	\$157,678
3	BUTTE	\$431,068	\$447,315	\$484,098	\$511,891
10	CALAVERAS	\$153,414	\$159,196	\$172,287	\$182,178
3	COLUSA	\$71,135	\$73,816	\$79,886	\$84,472
1	DEL NORTE	\$104,058	\$107,980	\$116,859	\$123,568
3	EL DORADO	\$413,840	\$429,437	\$464,750	\$491,432
6	FRESNO	\$925,176	\$960,046	\$1,038,990	\$1,098,640
3	GLENN	\$100,071	\$103,842	\$112,381	\$118,833
1	HUMBOLDT	\$478,613	\$496,651	\$537,491	\$568,349
11	IMPERIAL	\$334,081	\$346,672	\$375,179	\$396,719
9	INYO	\$67,885	\$70,444	\$76,236	\$80,613
6	KERN	\$1,004,452	\$1,042,309	\$1,128,018	\$1,192,780
6	KINGS	\$226,304	\$234,834	\$254,144	\$268,735
1	LAKE	\$220,581	\$228,894	\$247,716	\$261,938
2	LASSEN	\$127,970	\$132,793	\$143,713	\$151,964
7	LOS ANGELES	\$383,343	\$397,791	\$430,501	\$455,217
6	MADERA	\$245,900	\$255,168	\$276,150	\$292,005
10	MARIPOSA	\$64,802	\$67,244	\$72,774	\$76,952
1	MENDOCINO	\$326,337	\$338,637	\$366,483	\$387,523
10	MERCED	\$349,402	\$362,571	\$392,385	\$414,912
2	MODOC	\$40,000	\$40,000	\$40,000	\$40,000
9	MONO	\$48,622	\$50,455	\$54,604	\$57,739
5	MONTEREY	\$341,446	\$354,315	\$383,451	\$405,465
3	NEVADA	\$348,157	\$361,279	\$390,987	\$413,434
12	ORANGE	\$0	\$0	\$0	\$0
3	PLACER	\$270,211	\$280,395	\$303,452	\$320,874
2	PLUMAS	\$78,776	\$81,745	\$88,467	\$93,546
8	RIVERSIDE	\$635,973	\$659,942	\$714,209	\$755,213
5	SAN BENITO	\$201,382	\$208,972	\$226,156	\$239,140
8	SAN BERNARDINO	\$917,758	\$952,348	\$1,030,659	\$1,089,831
11	SAN DIEGO	\$527,334	\$547,208	\$592,205	\$626,205
10	SAN JOAQUIN	\$250,546	\$259,988	\$281,367	\$297,521
5	SAN LUIS OBISPO	\$478,590	\$496,628	\$537,466	\$568,322
5	SANTA BARBARA	\$150,286	\$155,950	\$168,774	\$178,463
5	SANTA CRUZ	\$143,911	\$149,335	\$161,615	\$170,894
2	SHASTA	\$219,370	\$227,638	\$246,357	\$260,501
3	SIERRA	\$40,000	\$40,000	\$40,000	\$40,000
2	SISKIYOU	\$167,589	\$173,905	\$188,206	\$199,011
10	STANISLAUS	\$319,267	\$331,300	\$358,543	\$379,127
2	TEHAMA	\$211,993	\$219,983	\$238,073	\$251,741
2	TRINITY	\$49,262	\$51,118	\$55,322	\$58,498
6	TULARE	\$710,122	\$736,887	\$797,481	\$843,265
10	TUOLUMNE	\$206,175	\$213,946	\$231,539	\$244,832
7	VENTURA	\$250,720	\$260,169	\$281,563	\$297,728
TOTALS		\$14,618,303	\$15,164,736	\$16,401,867	\$17,336,632

2007 FTIP/FSTIP Assumptions and Guidance

- **State Highway Element:**

1. 2006 STIP:

- The California Transportation Commission (CTC) Staff recommendations will be released on April 7.
- CTC adoption is scheduled for April 27.
- 2006 STIP will be available in CTIPS for transferring into FTIPs few weeks after CTC adoption. No date has been set yet as technical corrections (after CTC adoption) need to be incorporated before STIP is made "Official" in CTIPS.
- The total project cost must be programmed in FTIP including all STIP as well as non-STIP funding.
- Note that on or after April 1, 2006 when a STIP project is transferred from STIP into FTIP in CTIPS (through transfer mechanism), RW Support and Construction Support costs will be added to the corresponding capital costs.
- Note that STIP TEA reserve funding can not be programmed in FTIP unless a back-up project list approved by CTC is available.

2. 2006 SHOPP:

- 2006 SHOPP document approved by CTC was transmitted to MPOs on March 17, 2006.
- 2006 SHOPP will be made "Official" in CTIPS by mid-April.
- Office of Federal Transportation Management Program, Caltrans, will provide project and funding information to MPOs for inclusion into 2007 FTIPs. This information and list of projects must be used for the 2007 FTIP submittal to Caltrans.
- MPOs to identify any projects that are non-exempt from air quality conformity determination from the information provided by the Department, and list them individually in FTIP.
- Total revenue for SHOPP program is assumed equal to total programmed funding for SHOPP projects in CTIPS
- Caltrans-Districts to request MPOs to process amendments to 2006 FTIPs (after 2006 FSTIP approval) for any changes to 2006 SHOPP. Then MPOs will generate the lump sum reports from CTIPS and transmit reports to Districts for any corrections. Caltrans-Districts will then notify MPOs of any corrections to the reports that need to be incorporated for the amendment.

3. Emergency Repair Program: (See Attachment)

- This program is a fund reservation for any future emergency projects.
- The funding for 2007 FSTIP is developed on the guidelines from 2004 FSTIP.
- This is to be programmed as a lump-sum project.
- This is the only lump-sum project that can be programmed as a funding reservation that does not require a back-up project list.

4. Traffic Congestion Relief Program (TCRP):

- Funding for this program is assumed to be available for 2007 FSTIP.

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• Local Highway Element:

1. Highway Bridge Program (HBP, formerly HBRR Program):
 - Local Assistance is planning to release update to this program by March 28.
 - The MPO must review the information and individually list any non-exempt air quality projects in non-attainment and maintenance regions, and any projects that could not be classified as "Categorical Exclusion (CE)".
 - This information and list of projects must be used for the 2007 FTIP submittal to Caltrans.
2. HES/SR2S Program:
 - Local Assistance is currently developing guidelines for these programs based on SAFETEA-LU as the new act changes eligibility criteria for this program.
 - Local Assistance is planning to release project listings by October 1, 2006 for FY 2006/07. This information needs to be programmed in FTIPs through a formal amendment to 2007 FTIP.
 - In future, the program information will be released yearly. This information needs to be amended into the FTIP each year when released by Caltrans.
3. CMAQ/RSTP Programs:
 - Estimates for these programs were transmitted to MPOs on February 8.
 - MPOs may program projects up to the apportionment level for a particular year in its FTIP.
4. Section 130 - STP Railroad Program:
 - Project listings for FY 2006/07 were transmitted to MPOs on February 10.
5. High Priority Projects Program:
 - Guidelines for programming these projects in FTIP are under development. Program based on earmarks received.
6. Planning of Bridge Preventative Maintenance Program and the Statewide Scour Plan for Local Agencies:
 - The funding for the above lump-sum projects will be included in rural non-MPO portion of FSTIP. MPOs are required to program these projects without any funding shown in the triennial period of 2007 FSTIP, and provide reference such as rural non-MPO Project Ids (shown below) to the project listings in non-MPO portion of FSTIP. Use the following project descriptions:

Local Highway System			
DIST: 01	COUNTY: Various Counties	TITLE (DESCRIPTION): Bridge Preventive Maintenance Program (Planning of Bridge Preventive Maintenance Program by local agencies statewide Planning only - for developing project lists, not for capital)	MPO Aprv: 01/09/2006 State Aprv: 11 Federal Aprv: 11
ROUTE	PM		
PPND	KP		
EA	MPO ID: BR_PREV_M		
CTIPS ID: 230-0000-0089			
IMPLEMENTING AGENCY: Caltrans		PRJ MGR: PHONE	EPA TABLE II or III EXEMPT CATEGORY: Non construction related activities.

Provide reference to rural non-MPO project listing ID (BR_PREV_M)

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Local Highway System

DIST: 01	COUNTY: Various Counties	TITLE (DESCRIPTION): Statewide Scour Plan of Action Action (Scour local agency plan of action statewide.	MPO Appr: 01/09/2006
ROUTE: PM			State Appr: / /
FPNO: RP			Federal Appr: / /
EA: MPO ID: SCOUR_POA			
CTIPS ID: 236 0000-0090			EPA TABLE II or III EXEMPT CATEGORY:
IMPLEMENTING AGENCY: Caltrans	PRJ MGR:		

Provide reference to rural
non-MPO project listing
ID (SCOUR POA)

• **Transit Element:**

1. FTA 5310 Program:
 - Projects for FY 2006/07 will be approved by CTC in October 2006.
 - These projects will need to be amended into the 2007 FTIP after October 2006.
2. FTA 5311 Program:
 - Estimates for this program for Fiscal Years 2006-2009 based SAFETEA-LU are enclosed.
3. Program all other FTA projects in correct program category.

• **Other Federal Programs (e.g. PLH, IRR):**

Program projects in 2007 FTIP upon receiving notification.

Expedited Project Selection Procedure (EPSP):

- MPO to include approved EPSP language in its 2007 FTIP submitted to Caltrans.

FTA/FHWA Preliminary Guidance on Annual Listing of Obligated Projects

Statutory Basis:

As revised by the SAFETEA-LU, 23 U.S.C. 134(j)(7)(B), 23 U.S.C. 135(g)(4)(B), 49 U.S.C. 5303(j)(7)(B), and 49 U.S.C. 5304(g)(4)(B) require "...an Annual Listing of projects, including investments in pedestrian walkways and bicycle transportation facilities, for which Federal funds have been obligated in the preceding year shall be published or otherwise made available by the cooperative effort of the State, transit operator, and metropolitan planning organization for public review. The listing shall be consistent with the funding categories identified in each metropolitan transportation improvement program (TIP)."

This provision is intended to increase the transparency of government spending on transportation projects and strategies in metropolitan areas to State and local officials, and to the public at large. Realizing this objective involves promoting accuracy and responsiveness in financial planning and adoption of a proactive approach to sharing information with the public in a meaningful way, at an appropriate time, and in a user-friendly format.

Over the coming year, FTA and FHWA intend to jointly update the statewide and metropolitan transportation planning regulations (23 CFR part 450 and 49 CFR part 613) to implement the planning provisions of SAFETEA-LU, including the development and publication of the Annual Listing of Obligated Projects. The outcome of the regulatory process may result in later changes to this joint program guidance.

Discussion of Key Terms and Concepts in Statutory Language:

Following are brief descriptions of statutory provisions that provide the basis for the key procedural elements and product qualities presented in this guidance.

Cooperative Process - SAFETEA-LU, like its predecessor legislation TEA-21, requires the metropolitan planning organization (MPO), State, and public transportation operator(s) to cooperate in preparing a list of projects for which Federal funds were obligated for spending during the immediately preceding year. This cooperation is essential because of the different responsibilities held by the organizations in planning, programming, and project implementation. The MPO presents information on the projected schedule and funding for projects contained in the transportation improvement program (TIP) based only upon what is received from implementing organizations. Similarly, up to date information on implementation of projects in the TIP is available only from those implementing organizations. Thus, the annual report of projects for which an obligation of funds took place must be a cooperative effort.

Metropolitan Area Focus - Although the Annual Listing of obligated projects provision appears in both metropolitan and statewide planning sections of the law, the applicability is limited to metropolitan areas. Statutory reference is made in conjunction with statewide TIPs, but only to the extent that those documents contain project information from metropolitan area TIPs. These two references in law are redundant and are not meant to require two separate project listings.

Content and Format of Project Listing – The project listings should align with categories included in the TIP. This includes project name, location, and other descriptive information included in the TIP. The listing also should include the amount of funds programmed in the TIP, the amount obligated in the program year, and the amount of funds remaining and available for use in subsequent years.

One approach to producing the listing in a user-friendly format is through the use of the public domain software package TELUS (Transportation, Economic, and Land Use System). TELUS is available as both a desktop and a web-based information-management and decision-support system designed for MPOs and state departments of transportation (DOTs) to manage TIPs and to carry out other transportation planning and programming requirements. TELUS also can be used to integrate and map a variety of MPO and state DOT data for analysis and report generation, including preparation of the Annual List of obligated projects. TELUS is available free of charge at <http://www.telus-national.org>.

Pedestrian and Bicycle Facilities – The Annual Listing must include obligations for projects in the TIP that were specifically identified as bicycle or pedestrian projects. For projects in the TIP that include bicycle and/or pedestrian facilities as an incidental part of a larger project, a reasonable effort should be made to identify the cost and general location of these facilities in the Annual Listing.

Timing of Publication - The Annual Listing should be completed and published within three months after the end of the program year. The list should also include visual components, such as maps and charts, to ensure that the information is understandable to a broad readership with varying levels of familiarity with transportation planning and programming concepts.

Program Year – The year for which project obligations are reported would be each MPO's previous program year. The program year can be a calendar year, the Federal fiscal year, the local fiscal year, or any other annual increment that MPOs and States choose for the TIP.

Obligated – Within this context, an obligation is the Federal government's legal commitment to pay the Federal share of a project's cost. An obligated project is one that has been authorized by the Federal agency and funds have been obligated. Projects for which funds have been obligated are not necessarily initiated or completed in the program year, and the amount of the obligation will not necessarily equal the total cost of the project. For FTA projects, obligation occurs when the FTA grant is awarded. For FHWA projects, obligation occurs when a project agreement is executed and the State/grantee requests that the funds be obligated.

Examples in Current Practice:

Below are selected examples of a range of approaches taken by MPOs in preparing and publicizing the Annual Listing of projects:

- Denver Regional Council of Governments (DRCOG), Denver, CO.

DRCOG organizes its Annual Listing of obligated projects according to Federal funding category with the program year corresponding to the Federal fiscal year. Pedestrian and bicycle projects are included in the funding categories along with the other projects. The report provides a narrative summary of the percentage of obligations according to highway, transit, bicycle and pedestrian, and

other air quality project categories, as well as a tabular project listing. The report also provides a useful overview of the transportation planning and programming process underlying development of the TIP and resulting fund obligation. A link to the TIP follows.

<http://www.drcog.org/documents/FY2004ObligatedProjectList.pdf>

- Poughkeepsie-Dutchess County Transportation Council (PDCTC), Poughkeepsie, NY.

PDCTC organizes its Annual Listing of obligated projects according to Federal funding agency (FTA or FHWA) with the program year corresponding to the Federal fiscal year. The listing includes the project sponsor and phase of the project being funded and includes reference to bicycle and pedestrian facilities.

<http://www.co.dutchess.ny.us/CountyGov/Departments/Planning/2004ProjectObligations.pdf>

- Sacramento Council of Governments (SACOG), Sacramento, CA.

SACOG organizes its Annual Listing of obligated projects according to geographic location with the program year corresponding to the Federal fiscal year. The listing includes the project sponsor, project phase, Federal funding category and Federal project number. Pedestrian and bicycle projects are listed according to geographic location along with the other projects. The report summarizes obligations according to roadway, transit, bicycle and pedestrian, and other project categories.

<http://www.sacog.org/publications/annuallisting2002.pdf> .

- Northwestern Indiana Regional Planning Commission (NIRPC), Portage IN.

NIRPC organizes its Annual Listing of obligated projects according to highway or transit categories and further divides the highway projects according to county in which the project is located. The list of highway projects includes category of road (Federal, State or local), location and project description. The list of transit projects includes FTA ID, project name, project description, FTA funding category and location. The list includes maps and photographs to improve public awareness.

<http://www.nirpc.org/pdf/Whatever%20Happened.pdf>

Frequently Asked Questions:

Q. Which projects and strategies should be included in the Annual Listing?

A. The Annual Listing must include all projects and strategies listed in the transportation improvement program (TIP) for which Federal funds were obligated during the immediately preceding program year. SAFETEA-LU gave special emphasis to listing two project types - investments in pedestrian walkways and bicycle transportation facilities, to ensure they are not overlooked.

Q. How should the list be organized?

A. The list should follow the organization used to list projects in the TIP. Projects can be listed by funding source, phase of project, date of completion, geographic location, or other categories useful to project implementers, decision-makers, and the public. Where possible, graphic presentation of results through maps and charts, as well as descriptive information on the underlying planning and decision-making process, would improve usefulness to the public.

Q. How should the Annual Listing be made publicly available?

A. MPOs and State DOTs are encouraged to make the Annual Listing accessible to the public by a posting to website(s) on the internet. (See the examples above from MPO websites.) MPOs may also make the Annual Listing available via printed reports, publication in news media, newsletters, and other means.

Q. What is the source of the obligation information for projects from the TIP?

A. For projects funded under Title 23 (federal-aid highway program), the State should provide information on obligated funds. For projects funded under Chapter 53 of Title 49 (federal transit program), recipients of funding should provide the information. In addition, MPOs may access information on Federal-aid highway program fund status through the FHWA's Financial Management Information System (FMIS), but must first contact FHWA headquarters to receive approval to access FMIS.

Q. Is there a deadline for compilation and publication of the Annual Listing?

A. A deadline for preparing the Annual Listing is not specified in the statute. However, we expect the Annual Listings to be published within three months of the end of the MPO program year. Program implementers should be able to gather their obligation data shortly after the close of the program year and provide the information to the MPO in a timely fashion so that the Annual Listing can be made available for public consumption no later than three months after the close of the program year.

Q. What if a project is funded over several years? How should it be handled in the Annual Listing?

A. Although an entire project may be on a TIP, the obligation for a particular year may be for only a portion of that project (e.g., acquisition of right of way, or construction of only a portion of the project). In these cases, only the amount of the obligation for that particular year should appear on the Annual Listing. To aid public understanding, the Annual Listing for multi-year projects should also include the full project amount requested and the amount of funds remaining for use in subsequent years. To clarify the information, including a link to the TIP(s) from which the projects are drawn is helpful. For an example, see the Denver Regional Council of Government's Annual Listing of obligated projects referenced above.

Q. How is the requirement for an Annual Listing related to the Public Involvement requirement?

A. The Annual Listing is an important mechanism that will enhance public involvement by providing information on previously programmed projects that are advancing to implementation. Knowing the

outcome of previous project selections should enhance the public's ability to participate in the current year's planning process.

Q. If pedestrian walkways and bicycle transportation facilities are part of a larger transportation project, must they be listed separately?

A. The Annual Listing should follow the organization of the TIP. If projects such as pedestrian walkways and bicycle transportation facilities are grouped together, the same organization should be followed in the listing. Where pedestrian walkways and bicycle transportation facilities are specifically identified in the description of larger projects in the TIP, that same description should be used in the Annual List. A reasonable effort should be made to summarize the location and implementation status of these "embedded" pedestrian and bicycle projects. In some instances, it may not be possible to separate the cost of a pedestrian or bicycle project from a larger project. In this case, it would be helpful to note that the project includes a pedestrian or bicycle component.

Finacial Summary Form

2006 FSTIP

MPO:

(\$1,000)

Revenue versus Programmed	2006/07	2007/08	2008/09	TOTAL
State Highway Account Funds (State & State FHWA Funds)				
SHOPP	\$0	\$0	\$0	\$0
STIP	\$0	\$0	\$0	\$0
Local Assistance				
Congestion Mitigation and Air Quality	\$0	\$0	\$0	\$0
Regional Surface Transportation Program	\$0	\$0	\$0	\$0
Highway Bridge Replacement and Rehabilitation Program				
Surface Transportation Program Enhancement	\$0	\$0	\$0	\$0
Surface Transportation Program Hazard Elimination & Safety				
Surface Transportation Program Railroad Grade Crossing Protection				
Other Federal Highway Programs				
Federal Lands Highway Program ¹	\$0	\$0	\$0	\$0
Bridge Discretionary Program	\$0	\$0	\$0	\$0
NCPD Program/Borders/Corridor Program	\$0	\$0	\$0	\$0
Recreational Trails	\$0	\$0	\$0	\$0
Transportation and Community and System Preservation Pilot Program	\$0	\$0	\$0	\$0
Ferry Boat Discretionary	\$0	\$0	\$0	\$0
National Scenic Byways Program	\$0	\$0	\$0	\$0
Highway Priority/Demonstration Projects	\$0	\$0	\$0	\$0
Emergency Relief Program	\$0	\$0	\$0	\$0
Other (Describe)	\$0	\$0	\$0	\$0
Federal Transit Administration Funds				
3037 - Job Access and Reverse Commute Program	\$0	\$0	\$0	\$0
5303 - Metropolitan Planning Program				
5307 - Urbanized Area Formula Program	\$0	\$0	\$0	\$0
5308 - Clean Fuel Formula Program	\$0	\$0	\$0	\$0
5309(a) - Fixed Guideway Modernization	\$0	\$0	\$0	\$0
5309(b) - New Starts	\$0	\$0	\$0	\$0
5309(c) - Bus Allocation	\$0	\$0	\$0	\$0
5310 - Elderly & Persons with Disabilities Formula Program				
5311 - Nonurbanized Area Formula Program				
Non-Title 23/Federal Transit Funds (Describe)	\$0	\$0	\$0	\$0
Other State Funds				
Traffic Congestion Relief Program	\$0	\$0	\$0	\$0
Other (Describe)	\$0	\$0	\$0	\$0
Local Funds	\$0	\$0	\$0	\$0

1. Federal Lands Highway Program includes
 - Indian Reservation Roads
 - NPS Parkway and Park Roads
 - F&WS Refuge Roads
 - Public Lands Program
 - Forest Highways
 - Public Land Highways Discretionary

Financial Summary Form

2006 FSTIP

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(\$1,000)

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Regional Surface Transportation Program				
Highway Bridge Replacement and Rehabilitation Program				
Surface Transportation Program Enhancement				
Surface Transportation Program Hazard Elimination & Safety				
Surface Transportation Program Railroad Grade Crossing Protection				
Other Federal Highway Programs				
Federal Lands Highway Program ¹				
Bridge Discretionary Program				
NCPD Program/Borders/Corridor Program				
Recreational Trails				
Transportation and Community and System Preservation Pilot Program				
Ferry Boat Discretionary				
National Scenic Byways Program				
Highway Priority/Demonstration Projects				
Emergency Relief Program				
Other (Describe)				
Federal Transit Administration Funds				
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Non-Title 23/Federal Transit Funds (Describe)				
Other State Funds				
Traffic Congestion Relief Program				
Other (Describe)				
Local Funds				
Total Programmed				

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Finacial Summary Form

2006 FSTIP

MPO:

(\$1,000)

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Local Funds				
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